



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**CERTIFICATE OF MAILING**

I hereby certify that this paper and the documents and/or fees referred to as attached therein are being deposited with the United States Postal Service on January 16, 2002 in an envelope as First Class Mail, addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Pat Tate

Attorney Docket No.: CISC041C1

First Named Inventor: HOWES, et al

Application No. 09/954,507

**COPY OF PAPER  
ORIGINALLY FILED**

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

☐ Duplicate for  
fee processing

Sir: This is a Response to Notice to File Missing Parts in a patent application in the name of inventors:

**RICHARD A. HOWES  
EDWARD C. KERSEY  
BRUCE F. WONG  
JAMES A. JORDAN  
WILLIAM M. LEBLANC  
ANDREW L. FOSS**

02/15/2002 SMINASS1 00000027 500685 09954507

01 FC:115

110.00 DP

For: **METHOD AND APPARATUS FOR MAINTAINING CONNECTION STATE BETWEEN A CONNECTION MANAGER AND A FAILOVER DEVICE**

Application Elements:



Declaration



Newly executed (original or copy)



Copy from a prior application (37 CFR 1.63(d) for a continuation or divisional).

The entire disclosure of the prior application from which a copy of the declaration is herein supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.



Deletion of inventors Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

Accompanying Application Parts:



Information Disclosure Statement with Form PTO-1449



Copies of IDS Citations



Preliminary Amendment (*New claims numbered after highest original claim in prior application.*)



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Atty. Docket No. CISC041C1

Page 1 of 2

☐ Verified Statement Claiming Small Entity Status filed in prior application. Status still proper and desired.

☐ Other:

#### Amendments

☐ Cancel in this application original claims \_\_\_\_\_ of the prior application before calculating the filing fee. (*At least one original independent claim must be retained.*)

#### Fee Calculation (37 CFR § 1.16)

	(Col. 1) <u>NO. FILED</u>	(Col. 2) <u>NO. EXTRA</u>	<u>RATE</u>	<u>FEE</u>	<u>SMALL ENTITY</u>	<u>OR</u>	<u>LARGE ENTITY</u>
BASIC FEE				\$355	\$	OR	\$710
TOTAL CLAIMS	_____ -20 = _____			x9	=\$	OR	x18 = \$
INDEP CLAIMS	_____ -03 = _____			x40	=\$	OR	x80 = \$
[ ] Multiple Dependent Claim Presented				\$130	=\$	OR	\$260 = \$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.				Total	\$	OR	Total \$

☒ Applicants petition for a one (1) month extension of time to respond under 37 CFR § 1.136(a).

☒ Check No. 407 in the amount of \$1030.00 is enclosed.

#### General Authorizations

☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for this or any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 50-0685 (Order No. CISCPO41C1).

☒ The Commissioner is given general authorization to charge any fees or to credit any overpayment during the pendency of this application to Deposit Account No. 50-0685 (Order No. CISCPO41C1 ).

☒ Please send correspondence to the following address:

**Customer No. 21912**  
VAN PELT & YI LLP  
4906 El Camino Real, Suite 205  
Los Altos, CA 94022

Date: \_\_\_\_\_



**William J. James**  
Reg. No. 40,661

#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/954,507	09/12/2001	Ricard A. Howes	CISCP041C1

CONFIRMATION NO. 9058

## FORMALITIES LETTER



\*OC000000006995016\*

21912  
RITTER VAN PELT & YI, L.L.P.  
4906 EL CAMINO REAL  
SUITE 205  
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COPY OF PAPERS  
ORIGINALLY FILED

Date Mailed: 10/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/15/2002 SHINASS1 00000027 500685 09954507

02 FC:105 130.00 OP  
03 FC:102 84.00 OP  
04 FC:101 34.00 CH 706.00 OP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- o Total additional claim fee(s) for this application is \$80.  
    □ \$80 for 1 independent claims over 3 .
- o The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- o **The balance due by applicant is \$ 920.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.


The required item(s) identified below must be timely submitted to avoid abandonment:

- o The Claim(s) commencing on a separate sheet (37 CFR 1.75(h)).

Repln. Ref: 05/07/2002 VTRUOH81 0010033700  
DAH:500685 Name/Number:09954507  
FC: 704 \$84.00 CR

*A copy of this notice **MUST** be returned with the reply.*

Adjustment date: 05/07/2002 VTRUOH81  
02/15/2002 SHINASS1 00000027 09954507  
03 FC:102 -84.00 OP

  
\_\_\_\_\_  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE